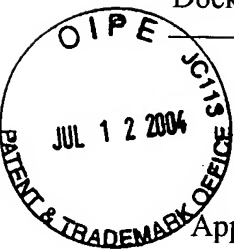


JFW



## INFORMATION DISCLOSURE STATEMENT

Applicant : Tomasini, et al.  
App. No. : 10/799,335  
Filed : March 12, 2004  
For : METHOD TO PLANARIZE AND  
REDUCE DEFECT DENSITY OF  
SILICON GERMANIUM  
Examiner : Unknown  
Group Art Unit : 2812

## CERTIFICATE OF MAILING

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: United States Patent and Trademark Office, PO Box 1450, Alexandria, VA 22313-1450, on

9 July 2004

(Date)

Kyle F. Schlueter  
Kyle F. Schlueter, Reg. No. 54,912

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing thirty three (33) references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON &amp; BEAR, LLP

Dated: 9 July 04

By: Kyle F. Schlueter  
Kyle F. Schlueter  
Registration No. 54,912  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ASMEX.447AAPPLICATION NO.  
10/799,335INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Tomasini, et al.FILING DATE  
March 12, 2004GROUP  
2812

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	3,602,778	08/31/71	Ura, et al			
	2	3,720,877	03/13/73	Zarowin			
	3	3,729,645	04/24/73	Redington			
	4	3,737,739	06/05/73	Blakeslee, et al.			
	5	3,984,718	10/05/76	Fein, et al.			
	6	3,984,857	10/05/76	Mason			
	7	3,985,590	10/12/76	Mason			
	8	4,461,820	07/24/84	Shirai, et al.			
	9	4,656,013	04/07/87	Hiai, et al.			
	10	4,699,892	10/13/87	Suzuki			
	11	4,786,574	11/22/88	Shirai, et al.			
	12	4,803,186	02/07/89	Chen, et al.			
	13	4,857,270	08/15/89	Maruya, et al.			
	14	4,868,014	09/19/89	Kanai, et al.			
	15	4,983,274	01/08/91	Chen, et al.			
	16	5,037,775	08/06/91	Reisman			
	17	5,112,439	05/12/92	Reisman, et al.			
	18	5,281,274	01/25/94	Yoder			
	19	5,281,299	01/25/94	Escoffier, et al.			
	20	5,294,285	03/15/94	Kanai, et al.			
	21	5,316,958	05/31/94	Meyerson			
	22	5,366,554	11/22/94	Kanai, et al.			
	23	5,482,557	01/09/96	Kanai, et al.			
	24	5,576,247	11/19/96	Yano, et al.			
	25	5,646,073	07/08/97	Grider, et al.			
	26	5,667,586	09/16/97	Ek, et al.			
	27	5,818,100	10/06/98	Grider, et al.			

EXAMINER

DATE CONSIDERED

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. ASMEX.447A		APPLICATION NO. 10/799,335	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)				APPLICANT Tomasini, et al.			
				FILING DATE March 12, 2004		GROUP 2812	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	28	6,242,080 B1	06/05/01	Kondo			
	29	6,451,641 B1	09/17/02	Halliyal, et al.			
	30	6,515,219 B2	02/04/03	Kondo			
	31	2003/0010978 A1	01/16/03	Burden			
	32	2003/0111013 A1	06/19/03	Oosterlaken, et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	33	JP 62017004	01/26/87	Japan			abstract	only

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	34	
	35	
	36	
	37	
	38	

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070804

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	

**OUTGOING  
U.S. DOCKETING PATENT CHECKLIST  
INFORMATION DISCLOSURE STATEMENT**

CLIENT CODE: Domex. 447A

JUL 09 2004

DOCKETING AGENT: A. Colter

DATE: \_\_\_\_\_

CHECKLIST INDICATORS:      Y = Yes      N = No      ✓ = Not Applicable

**Verify That The Following Has Been Entered Correctly:**

**Postcard**

- ☒ Today's date.
- ☒ Docket number.
- ☒ Applicant information.
- ☒ Title is correct and ellipsis ( . . . ) used when title is incomplete or shortened.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Attorney's initials indicated.
- ☒ Assistant's initials indicated.
- ☒ Number of pages and/or references are filled in where required.
- ☒ Initial postcard at "...QC:" once everything has been verified.
- ☒ All enclosures are marked on postcard.

**Check (if applicable)**

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- ☒ Docket number.
- ☒ Applicant information.
- ☒ Title is correct and complete.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ All enclosures marked on postcard are listed on the transmittal.
- ☒ Number of pages and/or references are filled in where required.
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☒ Certificate of mailing is signed and dated with today's date. (Certificate of Mailing is not a requirement).

☒ Signed by Attorney or Agent.

**Information Disclosure Statement Page:**

- ☒ Docket number.
- ☒ Applicant information.
- ☒ Application number.
- ☒ Filing date.
- ☒ Verify Title.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Customer Number 20,995 (if applicable)
- ☒ Certificate of mailing is signed and dated with today's date (if applicable).
- ☒ Signed and dated.

**PTO FORM 1449:**

- ☒ Docket number.
- ☒ Applicant information.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Patent document numbers, filing dates and names are all listed.
- ☒ U.S. References do not have to be included if the filing date is after 7/1/2003.
- ☒ Foreign patent and/or other documents information are all listed and included (if applicable).
- ☒ Total number of references and information have been verified.

**Envelope**

- ☒ Proper sized envelope is being used.
- ☒ Addressed to: Commissioner for Patents, PO Box 1450 Alexandria, VA 22313-1450.

\_\_\_\_\_ The client code and attorney's initials appear on the envelope.

\_\_\_\_\_ Place the PTO documents inside the envelope.

#### File Copy

\_\_\_\_\_ File copy is complete including everything being transmitted to the PTO, check(s) and postcard.

\_\_\_\_\_ Complete file copy is secured in the center of the file.

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\_\_\_\_\_ Title is correct and complete.

\_\_\_\_\_ Application number entered correctly.

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\_\_\_\_\_ Client copy is complete.

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#### In the Patent Management System:

\_\_\_\_\_ Click on the "Country Applications Data" tab. At "Case Number" type the client code and click on the "Start Search" tab.

\_\_\_\_\_ If it is unclear they are filing cited art from/in *all search reports or 892's* you ***must*** contact the filing (working) attorney to confirm. You may not close out these dates without attorney confirmation.

\_\_\_\_\_ Click on the "List of Actions" tab and look for an open action such as, *IDS Due or Rev Intl Srch Rpt/File IDS or Possible IDS* and click on the ellipse button to the right of the action.

\_\_\_\_\_ In the taken field, type the date the IDS was/is being filed. Click on the "Save & Exit" tab.

\_\_\_\_\_ When you receive authorization from the working Attorney to close out all/certain *IDS Due or Rev Intl Search Report/File IDS or Possible IDS* actions you must enter in remarks, on the first line *Per [atty, asst] close out this date; cited art submitted [filing date for submission of IDS or cited art] and your initials*

\_\_\_\_\_ Click on the ellipse button next to a blank row to create a new action. Use the action MD DOCUMENT PTO and the date the IDS is/was being filed as the base date. Click on the Save tab. Replace the asterisk next to the Postcard Recvd/ \* with IDS or Suppl IDS. Click on the Save tab.

\_\_\_\_\_ Remarks indicate the total number of references including any other enclosures (i.e., IDS w/5 References and an International Search Report)..

Click on the Print tab to print a copy of the action.

#### Print the Face Sheet

\_\_\_\_\_ Double-check your work product.

Place the Face Sheet in the Plastic Sleeve on the front of the file.

Fasten the Checklist to the top of the file.

Log the file out to "DOCK" and place on your shelf for audit trail check.

Audit Trail Checked By: \_\_\_\_\_

Date: \_\_\_\_\_

#### USE THE FOLLOWING INDICATORS WHEN MARKING THE CHECKLIST:

Y = Yes

N = No

✓ = Not Applicable

**NOTE: Do not use an indicator if there are errors, rather use the indicator once the errors have been corrected.**

#### Verify the following information is correct:

\_\_\_\_\_ The applicable action has been closed with the date the filing was mailed to the PTO and remarks have been correctly added.

\_\_\_\_\_ If applicable, check for \$180.00 was submitted.

The following action is open:

\_\_\_\_\_ Postcard Recvd?/IDS or Suppl IDS

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#### Fasten the checklists in the center section of the file.

Log the file to the appropriate location.